

*****This is only a preview of the examination questions. To take the actual examination, please go back to the official bulletin, and click the examination link.*****

Training and Experience Evaluation

Senior Financial Institutions Examiner

Department of Financial Protection and Innovation

The California civil service selection system is merit-based and eligibility for appointment is established through a formal examination process. This examination consists of a Training and Experience evaluation used to evaluate your education, training and experience relevant to the position.

This Training and Experience evaluation is a scored component accounting for 100% of your rating in the examination process. It is important to complete the questionnaire carefully and accurately. Your responses are subject to verification before appointment to a position.

Section 1: Tasks

Instructions: Rate your experience performing specific job-related tasks.

Respond to each of the following statements by indicating how the statement applies to you. You are required to respond to every question and provide relevant examples. Also, indicate the references who can verify the information provided.

In responding to each statement, you may refer to your WORK EXPERIENCE, whether paid or volunteer, your EDUCATION, and/or FORMAL TRAINING COURSES you have completed.

PLEASE NOTE: This examination is designed to gain an overall assessment of your education, training, and experience as it directly relates to the duties and the knowledge, skills and abilities required for this position. Possession of specific education is **not** required to be successful in this examination; however, such achievements may substitute for desirable levels of experience. All components of this examination have been carefully validated by tying them directly to job requirements and documenting their relevance to the position.

FURTHER NOTE: You can start the examination process and finish at a later date. CalHR highly recommends you use this exam preview and a word document to save your answers prior to signing in to the exam to avoid having trouble getting signed out for inactivity (Note: The CalCareers system times out after a period of inactivity).

Generally, what happens is the CalCareers system will save what you have completed when you press continue at the bottom of the page. This will save the information on that page (and all previous pages) and it will be there (saved) when you sign back in to complete the exam. This can be adversely affected by whatever security (software) is being used wherever you are logging in. If the CalCareers system doesn't recognize it as the "same computer" from the "same location" it will not provide you with the saved information.

Describe your work experience relevant to performing this task, both paid and volunteer.

1. Analyzing financial, nonfinancial, and/or compliance reports/documents in order to evaluate the overall safety, soundness, and/or compliance with applicable laws and/or regulations of the institution/organization.
2. Conducting field or off-site examinations, audits, or review of licensing or other activities of financial institutions and/or business firms to ensure compliance with applicable regulations or deconstructing financial transactions.
3. Analyzing data from financial institutions and/or business firms to determine the financial stability of the organization or detect fraudulent transactions.

4. Reviewing various aspects of organizations or individuals to identify violations, fraud, or recommended business practices and determine and/or recommend appropriate actions (e.g., referrals for administrative action, recommend enforcement actions to be taken, audits, recommendations to management).
5. Analyzing financial statements to determine financial solvency and/or to evaluate operating ratios to assess earnings, liquidity, capital adequacy, asset quality, minimum financial requirements and/or asset/liability management.
6. Interpreting and explaining results of various analyses and variances in data to provide results and formulate conclusions.
7. Evaluating business operations (e.g., business plans and/or business continuity plans, policies, procedures) for reasonableness, achievability, misrepresentations or omissions, and/or to determine compliance with applicable laws, rules, and/or regulations.
8. Reviewing information to determine the scope of the examination, audit, licensing review, and/or investigation and the related procedures.
9. Acting as lead person or examiner-in-charge of complex examinations, audits, licensing reviews, and/or investigations to ensure they are conducted according to organizational procedures and applicable laws and regulations.
10. Identifying suspected violations of laws, regulations, and/or policies and taking appropriate action.
11. Reviewing examination, audit, licensing review, or investigation findings or reports to generally assess unsatisfactory or unusual conditions in business or organizational practices and/or to identify violations, fraud, or recommended business practices disclosed by the examination, audit, licensing review, or investigation.
12. Communicating (verbally and/or in writing) complex, technical information to explain or support conclusions.
13. Contributing to written reports detailing the findings and conclusions of an examination, audit, licensing review, or investigation.
14. Conducting briefings, meetings, or presentations with stakeholders with various levels of technical expertise to ensure understanding of important issues.
15. Understanding, applying, and interpreting applicable laws, regulations, policies, and/or procedures.